# UTILITY PATENT APPLICATION TRANSMITTAL

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

| | |
|---|---|
| Attorney Docket No. | 20011/1262 |
| First Inventor | Michael Peter Trova |
| Title | NITROGEN SUBSTITUTED BIARYL PURINE DERIVATIVES AS POTENT ANTIPROLIFERATIVE AGENTS |
| Express Mail Label No. | EL983811984US |

**APPLICATION ELEMENTS**

See *MPEP chapter 600 concerning utility patent application contents.*

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
*(Submit an original and a duplicate for fee processing)*
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 251]
(preferred arrangement set forth below)
   - Descriptive title of the invention
   - Cross Reference to Related Applications *(if applicable)*
   - Statement Regarding Fed sponsored R & D *(if applicable)*
   - Reference to sequence listing, a table, or a computer program listing appendix *(if applicable)*
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings *(if filed)*
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure
4. ☐ Drawing(s) *(35 U.S.C. 113)* [ *Total Sheets* ☐ ]
5. Oath or Declaration [ *Total Pages* ☐ ]
   a. ☐ Newly executed (original or copy)
   b. ☐ Unsigned
   c. ☒ Copy from a prior application (37 CFR 1.63(d))
   *(for continuation/divisional with Box 18 completed)*
      i. ☐ DELETION OF INVENTOR(S)
      Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
   a. ☐ Computer Readable Form (CRF)
   b. Specification Sequence Listing on:
      i. ☐ CD-ROM or CD-R (2 copies; or
      ii. ☐ paper
   c. ☐ Statements verifying identity of above copies

16834 U.S. PTO
10/680832

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
*(when there is an assignee)*
11. ☐ English Translation Document *(if applicable)*
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
*(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s)
*(if foreign priority is claimed)*
16. ☐ Nonpublication request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, *check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:*
☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/950,543

Prior application information: Examiner: M. Berch Group / Art Unit: 1624

**For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**

**19. CORRESPONDENCE ADDRESS**

☐ *Customer Number or Bar Code Label* or ☒ *Correspondence address below*

| | | | | | |
|---|---|---|---|---|---|
| Name | Nixon Peabody LLP | | | | |
| Address | Clinton Square, P.O. Box 31051 | | | | |
| City | Rochester | State | NY | Zip Code | 14603-1051 |
| Country | USA | Telephone | (585) 263-1304 | Fax | (585) 263-1600 |

| | | | |
|---|---|---|---|
| Name (Print/Type) | Michael L. Goldman | Registration No. (Attorney/Agent): 30,727 | |
| Signature | Michael L. Goldman | Date | October 5, 2003 |

# FEE TRANSMITTAL FOR FY 2003

*Patent fees are subject to annual revision.*

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** ($) 788

| *Complete if Known* | |
|---|---|
| Application Number | To be Assigned |
| Filing Date | Herewith |
| First Named Inventor | Michael Peter Trova |
| Examiner Name | To be Assigned |
| Art Unit | To be Assigned |
| Attorney Docket No. | 20011/1262 |

## METHOD OF PAYMENT *(check all that apply)*

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number: 14-1138

Deposit Account Name: Nixon Peabody LLP

**The Commissioner is authorized to:** *(check all that apply)*

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s)

☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code | Large Entity Fee ($) | Small Entity Fee Code | Small Entity Fee ($) | Fee Description | Fee Paid |
|---|---|---|---|---|---|
| 1001 | 770 | 2001 | 385 | Utility filing fee | 770 |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

**SUBTOTAL (1)** ($) 770

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| | | | Extra Claims | | Fee from below | | Fee Paid |
|---|---|---|---|---|---|---|---|
| Total Claims | 13 | -20** = | 0 | X | | = | 0 |
| Independent Claims | 4 | -3** = | 1 | X | 18 | = | 18 |
| Multiple Dependent | | | | X | | = | 0 |

| Large Entity Fee Code | Large Entity Fee ($) | Small Entity Fee Code | Small Entity Fee ($) | Fee Description |
|---|---|---|---|---|
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim, if not paid |
| 1204 | 86 | 2204 | 43 | ** Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** ($) 18

**or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code | Large Entity Fee ($) | Small Entity Fee Code | Small Entity Fee ($) | Fee Description | |
|---|---|---|---|---|---|
| 1051 | 130 | 2051 | 65 | Surcharge – late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for *ex parte* reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| 1254 | 1,480 | 2254 | 740 | Extension for reply within fourth month | |
| 1255 | 2,010 | 2255 | 1,005 | Extension for reply within fifth month | |
| 1401 | 330 | 2401 | 165 | Notice of Appeal | |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive – unavoidable | |
| 1453 | 1,330 | 2453 | 665 | Petition to revive – unintentional | |
| 1501 | 1,330 | 2501 | 665 | Utility issue fee (or reissue) | |
| 1502 | 480 | 2502 | 240 | Design issue fee | |
| 1503 | 640 | 2503 | 320 | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 770 | 2809 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1810 | 770 | 2810 | 385 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** ($) 0

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

☐ deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop _____, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450

☐ transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____.

Date _____ Signature _____

Typed or printed name _____

## SUBMITTED BY

| | | | | | |
|---|---|---|---|---|---|
| Name *(Print/Type)* | Michael L. Goldman | Registration No. *(Attorney/Agent)* | 30,727 | Telephone | (585) 263-1304 |
| Signature | Michael L. Goldman | | | Date | October 5, 2003 |

Complete *(if applicable)*

SEND TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

## EXPRESS MAIL CERTIFICATE

DOCKET NO.: **20011/1262**

APPLICANT: **Michael Peter Trova**

TITLE: **NITROGEN SUBSTITUTED BIARYL PURINE DERIVATIVES AS POTENT ANTIPROLIFERATIVE AGENTS**

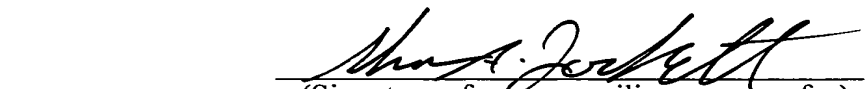
Certificate is attached to the **Utility Patent Application Transmittal Letter (1 page) (in duplicate) and Fee Transmittal (1 page) (in duplicate)** of the above-named application.

EXPRESS MAIL NUMBER: **EL983811984US**

DATE OF DEPOSIT: **October 7, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service ''Express Mail Post Office to Addressee'' service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett
(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)

## EXPRESS MAIL CERTIFICATE

DOCKET NO.: **20011/1262**

APPLICANT: **Michael Peter Trova**

TITLE: **NITROGEN SUBSTITUTED BIARYL PURINE DERIVATIVES AS POTENT ANTIPROLIFERATIVE AGENTS**

Certificate is attached to the copy of the **SIGNED Combined Declaration and Power of Attorney Form (2 pages)** as filed in the prior application of the above-named application.

EXPRESS MAIL NUMBER: **EL983811984US**

DATE OF DEPOSIT: **October 7, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

## EXPRESS MAIL CERTIFICATE

DOCKET NO.: **20011/1262**

APPLICANT: **Michael Peter Trova**

TITLE: **NITROGEN SUBSTITUTED BIARYL PURINE DERIVATIVES AS POTENT ANTIPROLIFERATIVE AGENTS**

Certificate is attached to the **Information Disclosure Statement (1 page) and PTO-1449 (2 pages) (in duplicate) with 31 references (29 references not attached) (References 6 and 10 attached)** of the above-named application.

EXPRESS MAIL NUMBER: **EL983811984US**

DATE OF DEPOSIT: **October 7, 2003**

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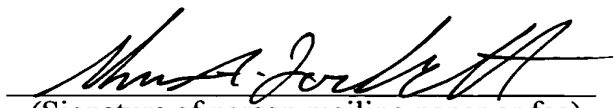
Shawn A. Lockett
(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)

## EXPRESS MAIL CERTIFICATE

DOCKET NO.: **20011/1262**

APPLICANT: **Michael Peter Trova**

TITLE: **NITROGEN SUBSTITUTED BIARYL PURINE DERIVATIVES AS POTENT ANTIPROLIFERATIVE AGENTS**

Certificate is attached to the **Preliminary Amendment (3 pages)** of the above-named application.

EXPRESS MAIL NUMBER: **EL983811984US**

DATE OF DEPOSIT: **October 7, 2003**

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Shawn A. Lockett
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

## EXPRESS MAIL CERTIFICATE

DOCKET NO.: **20011/1262**

APPLICANT: **Michael Peter Trova**

TITLE: **NITROGEN SUBSTITUTED BIARYL PURINE DERIVATIVES AS POTENT ANTIPROLIFERATIVE AGENTS**

Certificate is attached to the **Patent Application including specification, claims and abstract (251 pages)** of the above-named application.

EXPRESS MAIL NUMBER: **EL983811984US**

DATE OF DEPOSIT: **October 7, 2003**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Shawn A. Lockett
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)